

PUBLIC INFORMATION & COMMUNICATION SERVICES (PICS) NIH - TASK ORDER

RFTOP: 125
DUE DATE: May 15, 2003, 1:30 P.M. (Local Time)
TITLE: *The Extramural Associates Research Development (EARDA) Program Evaluation*

PART I – REQUEST FOR TASK ORDER (TO) PROPOSALS

A. Point of Contact Name: Lynn Salo
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Proposal Address:

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B. PROPOSED PERIOD OF PERFORMANCE:

The period of performance for this Task Order is September 2, 2003 through April 30, 2005.

C. PRICING METHOD:

The National Institute of Child Health and Human Development (NICHD) anticipates awarding a Task Order entitled "The Extramural Associates Research Development (EARDA) Program Evaluation" under the National Institute of Health (NIH) Information and Communication Services Indefinite Delivery Indefinite Quantity Contract (IDIQ). NICHD anticipates that the resultant award of the Request for Task Order Proposal (RFTOP) will be Firm Fixed Price. It is the Government's preference that the budget for the project be prepared on a firm fixed price basis, but we will consider Offerors who propose another method of pricing.

The level of effort may include, but is not limited to Project Director, Statistical Computer Programmer, Data Analyst, Research Assistant, Technical Staff, and Administrative/Clerical Support.

The level of effort set forth below is to serve not as a measure of the Contractor's obligation, but as a further description of the required services. Please note this will not

be part of the contract: (Hours based upon 2,080 hrs. per year for a period of 18 months for Phase I – Phase III.)

Level I	920 hours
Level II	595 hours
Level III	425 hours
Level IV	325 hours
Level V	140 hours
Level VI	60 hours

Note: The Class Levels are defined as follows:

Class I: Senior management personnel, normally holding an advanced degree (e.g., Ph. D. in the social or behavioral sciences with training in both qualitative and quantitative methods), with a minimum of five years experience in conducting evaluations, of which at least three years has been experience in the senior management or administration of evaluation projects, and, as appropriate; corporate level management experience that reflects an ability to command organizational resources and direct staff within the broader organization.

Class II: Associate management or technical personnel, normally holding an advanced degree (e.g., MA in the social or behavioral sciences with training in both qualitative and quantitative methods), with a minimum of two years experience in conducting evaluations (in particular, case study methods or survey research), of which at least two are directly related to scientific research programs.

Class III: Intermediate technical personnel, normally holding a BS or BA degree and at least three years experience in technical evaluation activities. The individual is capable of carrying out independent assignments with minimum supervision or acting as leader of small tasks, including statistical computer programming, survey design, and case study methods..

Class IV: Junior analysts, normally holding a BS or BA degree, with three years or less experience in technical areas. Includes research assistants and junior personnel who regularly assist analysts and specialists on routine technical work, such as data collection, coding and analysis.

Class V: Other technical staff such as editors.

Class VI: Secretaries and administrative staff

D. PROPOSAL INSTRUCTIONS

The proposal shall be prepared and submitted in two Volumes: Volume I – Technical Proposal and Volume II – Business Proposal. Each of these volumes shall be separate and complete in itself so that evaluation of one may be accomplished independently of the evaluation of the other. The Government will evaluate proposals in accordance with the evaluation criteria set forth in Part H. below. It is essential that the Offeror address all evaluation criteria.

The RFTOP does not commit the Government to pay any costs for preparation and submission of a proposal. In addition, the Contracting Officer is the only individual who

can legally commit the government to the expenditure of public funds in connection with this proposed acquisition.

The proposal shall be signed by an official authorized to bind the Offeror's organization to perform, if a task order is awarded in response to this RFTOP. The same authorized official shall also sign Part II of the Task Order document (sample attached). Please submit an electronic version of your proposal to Ms. Lynn Salo (ls59u@nih.gov) in addition to eight (8) hard copies plus the original Technical Proposal and four (4) copies hard copies of your Business Proposal by **1:30 PM, May 15, 2003.**

Lynn Salo, Contracting Officer
NICHD, CMB
Executive Building/Rm. 7A07
6100 Executive Blvd., MSC
Bethesda, Maryland 20892-7510*

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1. Technical Proposal, **Volume I**

NOTE #1: In the interest of brevity and in order to conserve space, please read the **Background** information preceding the **Statement of Work** before continuing, so that the reader will understand the Government's requirement.

NOTE #2: The Offerors Proposals shall be prepared and submitted in two volumes: Volume I – Technical Proposal and Volume II – Business Proposal. Each of these volumes shall be separate and complete in itself so that evaluation of one may be accomplished independently of the evaluation of the other. The Government will evaluate proposals in accordance with the evaluation criteria set forth in Part H. below. It is essential that Offerors address all evaluation criteria. **A limit of 40 pages (excluding resumes) has been placed upon the Technical Proposal.**

EARDA Program Evaluation Objectives and Design

Describe the technical approach necessary to implement each task and subtask presented in Section 6.0 of the Statement of Work. Offerors should consider the EARDA program design (e.g., purpose of the evaluation, conceptual framework, evaluation questions, evaluation design, reports/dissemination, and evaluation workgroup) described in Sections 1.0 through 5.0. To achieve each task or subtask, the Offeror may suggest alternative methods or approaches to those described in Sections 1.0 through 5.0. The alternative should be thoroughly justified in terms of both benefits and costs for achieving the overall evaluation objectives.

Personnel

Describe and specify types of personnel proposed to complete this project. This should include proposed duties, amount of effort, resumes, and other information pertinent to this project (if subcontractors are proposed, provide the same relevant information). (See item C. above – Pricing Method). Describe in detail the overall staffing plan for organizing and managing the tasks required by this project. It is paramount that you provide resumes for personnel in Classes I and II as defined above. In addition, all other staff resumes (staff name, academic background, skills and subject area expertise, work history, affiliation with the Offeror, publications, if any, and other pertinent information) and consultants (if applicable) should accompany the proposal.

Corporate Qualifications/Experience/Facilities

Describe facilities, equipment, services and supplies needed to conduct this project. Describe your corporate technical ability, subject matter expertise, analytic experience related to evaluating scientific programs, and experience in working with minority and women's institutions. Describe in detail how you will organize and manage the work on a daily basis. In addition, you should include a physical description of your organization headquarters, offices, and facilities.

2. Business Proposal, **Volume 2**

The Business Proposal shall provide a detailed explanation of the labor categories proposed, effort hours, and Other Direct Costs and justification for each item. Please include your most current negotiated Rate Agreement. Price will not be numerically scored. The Government will perform a cost analysis utilizing appropriate techniques and procedures.

Past Performance

The contractor must demonstrate recent successful experience in managing similar contracts or related work of comparable technical complexity. The government is seeking to determine whether the contractor has consistently demonstrated a commitment to customer satisfaction and timely delivery of high quality products and services. The Offeror shall submit three Past Performance Evaluation/Letter of Reference of comparable project completed during the past three years and all contracts currently in progress that are similar in nature to this Statement of Work. In addition, the contractor shall include the name and telephone number of the technical point of contact. (A Past Performance Evaluation Form is attached and can be found at the conclusion of this RFTOP [4 pages]). **NOTE:** If you have already been evaluated and your evaluation is in the NIH Past Performance system, please provide all the necessary information so that we can access the evaluation.

E RESPONSE DUE DATE:

Please submit an electronic version of your proposal to Ms. Lynn Salo (ls59u@nih.gov) in addition to eight (8) hard copies plus the original Technical Proposal and four (4) copies hard copies of your Business Proposal by 3:00 PM, May 15, 2003.

F. TASK DESCRIPTION and STATEMENT OF WORK:

Attachment A.

**The EARDA Program Evaluation
Statement of Work**

NOTE: Offerors should focus their proposals on implementing the technical requirements of the tasks and subtasks for the EARDA evaluation as specified in Section 4, Statement of Work as follows. Any proposal that addresses only part of the tasks and subtasks may not be considered fully responsive to the Government's technical needs and may not be accepted. Award will be made to that responsible Offeror who can best perform the task and subtasks required work in a manner most advantageous to the Government, considering cost and all of the technical recommendations presented in Sections 1.0 through 3.0.

1.0 Introduction: The Extramural Associates Research Development Award (EARDA) Program

In 1994, the NIH established the Extramural Associates Research and Development Award (EARDA) program, a new grant mechanism to support minority and women's institutions.¹ The new effort augmented the original Extramural Associates (EA) program, which was established in 1978 to increase the participation of minority and women's institutions in biomedical and behavioral research. During a six-month residency at NIH, each EA was assigned a mentor from one of the Institutes or Centers (ICs). The mentor and the EA program staff helped the EA learn about different kinds of NIH research support, the grant and contract application and review process, as well as techniques for designing and developing grants and contract proposals. The EAs met with scientists and administrators from across the NIH, other federal research agencies, and private biomedical and behavioral research funding organizations. At the end of residency, the EAs returned to their schools with no additional funding from the NIH, and were expected to communicate what they learned to other faculty members and students to increase their ongoing interest and participation in research.

Between 1978 and 1994, the EA program provided the six-month residency experience for over 140 science faculty members and administrators from the targeted institutions. The EA program staff and the EA Advisory Board, however, determined that additional support was needed for the EAs once they returned to their institutions. Thus, in 1994, the EARDA program was established to provide grant support to the EA's institution to support research infrastructure development and encourage more faculty members or students to participate in research.

The EARDA program consists of two components, both targeting minority and women's institutions:

- The *Sponsored Research Infrastructure Program (SRIP)*, a five-month residency program for minority and women's institutions that award masters, or higher, academic degrees in the health or social science fields such as a Doctor of Medicine, Dental Surgery, Veterinary Medicine, or Pharmacy degree. The award is \$35,000 in

¹Institutions that have a combined minority enrollment of 50 percent or greater, and women's colleges are eligible. This generally includes the Historically Black Colleges and Universities (HBCUs), the Hispanic Serving Institutions (HSIs), the Tribal Colleges and Universities (TCUs), and small women's colleges and universities.

the first year and \$85,000 in the second and third years. Baccalaureate degree granting institutions can also apply for the five-month program, with permission of the EA Program Director based on established criteria.

- The *Faculty Research Enhancement Support Program (FRESP)*, a ten-week program, designed specifically for institutions that award degrees in the sciences no higher than the baccalaureate. Eligible institutions are expected to support little or no on-going research activities. Community colleges that have recognized science programs or ties to a four-year institution with 50 percent minority enrollment are also eligible to apply. Participating institutions receive \$25,000 in the first year, and \$30,000 in the second and third years.

The SRIP and FRESP grants currently provide support for five years (prior to FY 2000, support was for only three years) or, what is termed, Phase I of the program. Successful institutions can then compete for a Phase II award. This provides an additional three years of support, with the expectation that the EA and the institutions will continue to collaborate to achieve program goals. The EARDA Program staff have recently implemented a Phase III award component designed to help institutions that have successfully completed Phases I and II with transitional support for their research infrastructure development. The objective of Phase III is to provide additional funds to the institution for two or three years (depending on when the grant started) on a cost-sharing basis so that it can gradually achieve independence in funds necessary to sustain research development activities.

The EA Advisory Committee, a trans-NIH group, was established in 1978 to assist with monitoring the EA program, and later in 1994 to oversee the EARDA program implementation. The Committee is composed of fifteen members who represent the diversity of the NIH community with respect to gender, ethnicity, academic discipline, roles, and ICs.

In FY 2000, the EARDA program was moved administratively to the NICHD from the NIH Office of the Director. Although the NICHD now serves as the administrative home, the EARDA program continues to be a trans-NIH program. The program annually awards approximately five new grants, SRIP and FRESP combined; and it has approximately 25 ongoing combined SRIP and FRESP grants in a given year.

1.1 The EARDA Program Goals

The principal goal of the EARDA program is to encourage, assist, and facilitate the entry and increased participation of eligible minority and women's institutions in biomedical and behavioral research and in research training. When the EAs complete their NIH residency and return to their home institutions, they are expected to work with faculty, students, and administrators to achieve the following overall program goals:

- Increase knowledge about the NIH extramural programs and the range of federal support for biomedical and behavioral research;
- Develop skills in preparing competitive research proposals;
- Expand research opportunities by developing a network of NIH and other federal research agency contacts and by serving as a liaison to faculty and students at their institution; and
- Develop partnerships with research-intensive institutions.

More specifically, the EAs from institutions with a SRIP award are expected to help develop or augment an Office of Research Development (ORD), working in conjunction with an existing Office of Sponsored Research (OSR) or comparable office. The institution is also expected to expand its research and training opportunities.

The EAs from institutions with a FRESP award are expected, at a minimum, to establish a central point where information can be received and disseminated about research and research training opportunities for faculty and for students, in cooperation with any existing OSR or comparable office at the institution.

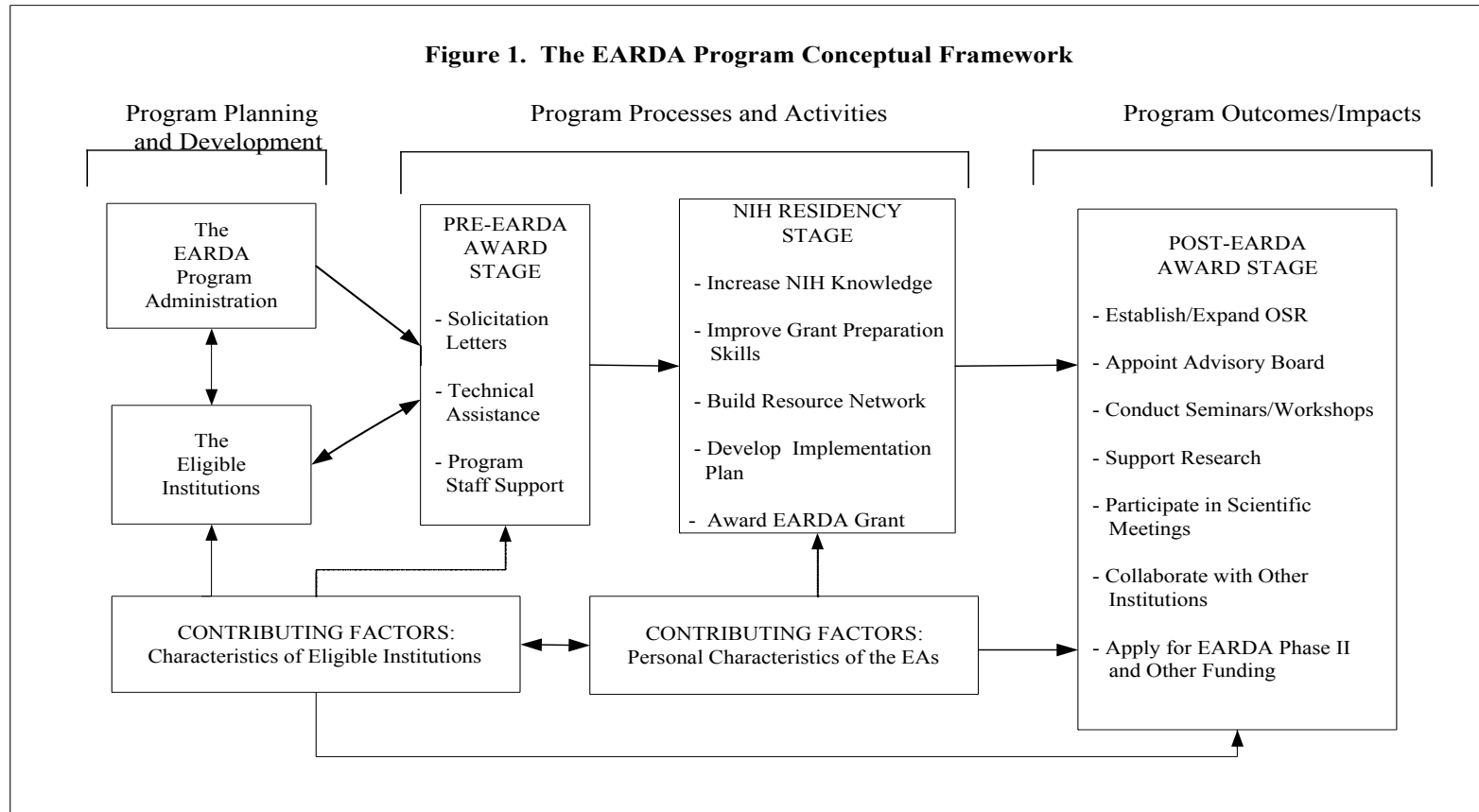
The EARDA program staff (currently 4 FTEs) play a direct role in helping the EAs and their institutions achieve the program goals. During the “pre-EARDA award stage,” staff members actively recruit eligible institutions to apply to the program and provide assistance in preparing proposals. During the “NIH residency stage,” which precedes the award of the EARDA grant to the institution, staff help the EAs meet NIH officials, gain access to scientific programs, and help the EA develop a plan (hereafter referred to as the “implementation plan”) for activities to build research capacity at their home institution. If the EA completes the residency program satisfactorily, the EARDA grant is awarded to the institution to support research development activities. In the “post-EARDA award stage” when the EAs return to their institutions, the EARDA program staff, including the EA mentors from the various ICs, continue to help the EAs as they put their implementation plans into effect.

These activities and program stages are graphically depicted and detailed in the EARDA program conceptual framework (see Figure 1). Within the boxes are shown some of the expected accomplishments to take place during the pre-EARDA award, the NIH residency, and the post-EARDA award stages. The diagram also includes boxes to represent the characteristics of the eligible institutions and the personal characteristics of the EAs as contributing factors that may account for differences in the programs activities conducted and outcomes/impacts achieved. This framework will serve as the blueprint to analyze and interpret the relationships among the variables/indicators included in the EARDA program evaluation.

1.2 Purpose of the EARDA Program Evaluation

This evaluation will examine program processes and outcomes, using both qualitative and quantitative methods. The *process evaluation* will focus on how the EARDA program, since its beginning in 1994, has been implemented by the NICHD staff in all three stages (pre-EARDA award, NIH residency, and post-EARDA award). In addition, the process questions will examine how the EAs begin to work with administrators, faculty members, or students to initiate

Figure 1. The EARDA Program Conceptual Framework



activities to make changes in research infrastructure and participation at their institutions. The time period for examining the EAs' role will include the years from 1978 to 1994 when the EARDA program was created. The outcome evaluation will assess the short-term, intermediate outcomes, and long-term impacts in the post-EARDA award stage. By assessing the connections between process, outcome, and impact variables that occur through the various program stages, the evaluation can determine how the EARDA institutions, working with program staff at the NICHD, make incremental progress to achieve program goals.

Although a formal causal analysis is not possible, the study will look for contributing factors that are important for understanding the program's success in building research capacity in minority and women's institutions. Finally, the evaluation will focus on improvement of the EARDA program by seeking feedback from stakeholders on how the program's structure and operations can be changed to more effectively accomplish its objectives. In this case, improvement of the EARDA program pertains to the contexts of the EARDA program staff, the EA, the eligible institutions, and the overall NIH context. The EAs, faculty members, and administrators of the EARDA institutions and representatives of the other eligible institutions will be asked to suggest ways to enhance the activities at each program stage—pre-EARDA award, NIH residency, and post-EARDA award.

1.3 Evaluation Questions

The EARDA program evaluation will address five principal questions, each one representing a different focus of the assessment (in italics), as described above:

1. Is the program being conducted as planned? Are targeted institutions participating? (*Process*)
2. Have the EAs and institutions achieved their immediate and long-term goals, per their Implementation Plans? (*Outcomes/Impacts*)
3. To what extent is success related to institutional, individual, or program-related factors? (*Contributing Factors*)
4. How can performance of the EARDA Program, as well as, the EAs and their institutions be enhanced? (*Improvement*)
5. What information is needed to monitor the EARDA program in the future? (*Improvement*)

1.4 Use of Results

This assessment will produce findings on the processes, outcomes, impacts, and contributing factors associated with the EARDA program's performance, combined with ways to improve the EARDA program. In turn, this information should help stakeholders (e.g., the EAs, their institutions, the EARDA program staff, the NIH Office of the Director, and the NICHD leadership) identify ways to enhance program management and operations. The findings will also inform the ICs, including the mentors that assisted the EAs, about the EARDA program accomplishments and may encourage broader and strengthened NIH-wide support. Equally important, the study findings will offer feedback to the participating EARDA institutions on their accomplishments and ways to improve their research-related activities.

1.5 Review of the Literature

The EARDA program is one of several academic, private, or governmental programs designed to improve the recruitment, retention, and representation of women and minorities in the sciences. All focus on the unique contributions of women, minorities, and others underrepresented in the sciences to biomedical and behavioral research (National Council for Research on Women, 2001). Although there has been increased attention to developing programs that will create interest in the sciences for women and minorities, the evaluation of such programs is not extensive.

Jackson and McGlinn (1994) identified twenty programs, operating from 1966 to 1996, with the goal to provide enrichment opportunities to minority college students. For example, the Medical/Dental Education Preparatory Program (MEDPREP) of Southern Illinois University School of Medicine provided support to underrepresented minority and disadvantaged students as they prepared for admission to health professional schools (University of

NIH Contractor Performance Report (continued)

Southern Illinois, 2002). Students who participated in the MEDPREP Program had high rates of acceptance, matriculation, and graduation from these schools (Carline, et al., 1998). Another example is the Minority Access to Research Careers (MARC) program at the NIH, which aims to strengthen the science curricula at minority-based institutions and to provide faculty and student opportunities for research training. The evaluation findings (National Institute of General Medical Sciences, 2001) indicated a favorable achievement pattern for former MARC doctoral fellows, which was consistent over time and comparable to previous evaluations of National Research Service Award (NRSA) trainees.

The above studies, like the programs they evaluated, focused on individual rather than institutional outcomes. Most of them did not utilize comparison groups and were unable to isolate program success factors. Further, these evaluations did not address the uniqueness of each participating institution or individual in explaining the outcomes from the interventions, making them less useful for understanding factors that contribute to program effectiveness. The proposed EARDA evaluation will collect survey data from representatives (e.g., faculty, students, and administrators) of minority and women's institutions. Comparisons will be made among survey respondents from eligible non-applicant institutions, unsuccessful applicant institutions, and the EARDA successful institutions. Furthermore, case studies of EARDA institutions, both FRESP and SRIP, will help identify success factors and their related activities.

Other evaluations have examined program impact at the institutional level. The Department of Health and Human Services (DHHS) Office of Minority Health has evaluated the HBCU Capacity Building Program, established in 1992 to demonstrate ways to increase the involvement of HBCUs in health and social service programs. While the evaluation showed that the HBCUs studied were able to implement the program to yield desired outcomes, the analysis could not explain how or why particular processes were pursued or particular outcomes were achieved. The proposed EARDA program evaluation will attempt to examine the processes related to specific outcomes.

At the NIH, the National Center for Research Resources (NCRR, 2000) evaluated its Research Centers in Minority Institutions (RCMI) Program, designed to enable predominantly minority institutions to become more competitive in obtaining support for the conduct of biomedical and/or behavioral research. The purpose of the evaluation was to assess the extent to which the goals and objectives of the program were achieved during its first 10 years. The major finding was that the 15 institutions supported by the NCRR showed more improvement in competing for research grants after 10 years of RCMI support than a comparable group of institutions that did not receive special support. The RCMI institutions increased their average grant funding by 139 percent compared with 56 percent for the comparison institutions. Scientific leadership, administrative leadership, and good management and communications systems were the factors most highly related to overall success. A major recommendation of the evaluation was that the NCRR convert the grants to cooperative agreements to ensure that the centers receive needed technical assistance.

2.0 Evaluation Design

The design for the EARDA program evaluation consists of a combination of quantitative and qualitative methods. The target populations for study represent the different groups of minority and women's institutions that have, or have had, some connection to the EARDA program as an institution eligible for a grant award. The design is intended to be practical for purposes of informing a diverse group of stakeholders with findings that can be applied to improving the program's operations. In this section, the study questions, target populations, variables/indicators/data sources, survey and case study methods, and data analysis objectives are summarized based on the EARDA program evaluation feasibility and design study, conducted by Kozloff and Kunitz (2002). The contractor will review this study, and all related documentation, and consider the findings and recommendations in preparing the work plan for this full-scale program evaluation.

2.1 Study Questions

NIH Contractor Performance Report (continued)

[The five principal questions of the EARDA program evaluation, presented in Section 1.4, are further detailed below in twenty study questions organized into four groups: Process, Outcomes/Impacts, Contributing Factors, and Improvement.](#)

Process Questions

1. What resources do EARDA program staff members have to implement the program?
2. What means of communication have been established between EARDA staff and program eligible institutions?
3. How many institutions are eligible for the program, have applied for a grant, and are successful in getting a grant?
4. Why are some eligible institutions not applying for an EARDA grant?
5. What activities or factors are most productive in helping EARDA institutions carry out their implementation plan?
6. What skills and knowledge are gained by the EAs during their NIH residency and which aspects of their training contribute most to these skills/knowledge?

Outcome/Impact Questions

7. **What short-term, intermediate, and long-term goals have EARDA grantee institutions been able to achieve?**
8. **Do EARDA eligible institutions (i.e., applicants, non-applicants and grantees) integrate research development activities with everyday sponsored research administration? If yes, how successful are they?**
9. **Do EARDA eligible institutions conduct faculty or student workshops to develop research infrastructure? If yes, how successful are they?**
10. **What changes in faculty or student participation in research activities have occurred during the grant period?**
11. **What kinds of research collaboration have occurred between EARDA eligible institutions and with whom? How extensive are these collaborations?**
12. **During the grant period, have EARDA institutions obtained additional or complementary funds to support research development, and how did they obtain such funds?**
13. **In what other ways has the institutional research infrastructure changed in the EARDA institutions?**

Contributing Factor Questions

14. **What kinds of support do the EARDA eligible institutions provide to their faculty and students for research activities?**
15. **For the EARDA eligible institutions, what major changes have occurred since 1994 when the EARDA program began that might influence faculty commitment to research?**
16. **What contextual factors affect the impact of the EARDA grant on the institution?**
17. **What personal characteristics of the EA have influenced the outcomes of the EARDA grant at the institution?**

NIH Contractor Performance Report (continued)

Improvement Questions

18. What program improvements can be made in the pre-EARDA award stage?

19. What program improvements can be made in the NIH residency stage?

20. What program improvements can be made in the post-EARDA award stage?

2.2 Target Population

The target population of eligible institutions, including community colleges, for the EARDA program consists of the following four types, with estimated numbers:

	Estimated Number
▪ <u>Historically Black Colleges and Universities (HBCUs)</u>	<u>117</u>
▪ <u>Hispanic Serving Institutions (HSIs)</u>	<u>111</u>
▪ <u>Women's colleges and universities</u>	<u>52</u>
▪ <u>Tribal Colleges and Universities (TCUs)</u>	<u>34</u>
	<u>Total 314</u>

The estimated number of eligible schools shown above is current as of Spring 2002. Of this number, 84 applied for and 61 institutions received EARDA grants since the program began. Of the 61 grants awarded, 27 were to FRESP and 34 were to SRIP grantees. Among the successful institution grantees (61), 32 have been eligible to apply for continuing grants. Currently, 25 of these 32 eligible EARDA institutions (16 SRIP and 9 FRESP) have received support for Phase II of the program.

For the EARDA program evaluation, three groups of eligible institutions will be studied:

1. EARDA Non-Applicant Eligible Institutions – All institutions identified by the EARDA programs staff as eligible to apply for an EARDA grant, but have never applied (n=230).
2. EARDA Unsuccessful Applicants – All of the eligible institutions that ever applied for, but never received, a grant will be surveyed (n= 23).
3. EARDA Successful Applicants – All institutions that have ever received an EARDA grant (n=61) will be included in the survey, and eight of them will be selected for case study.

2.3 Key Variables/Indicators and Data Sources

Table 1, *Proposed Study Questions, Suggested Variables/Indicators, and Potential Data Sources*, displays the potential variables/indicators and data sources for each of the 20 study questions. These variables/indicators are also grouped by the major components (in italics) of the EARDA program conceptual framework—*Program Planning and Development, Program Processes and Activities, and Program Outcomes/Impacts* (see Figure 1). The items in this table were identified for the EARDA programs evaluation feasibility-design study (Kozloff and Kunitz, 2002). For the full-scale implementation of the EARDA program evaluation, the contractor will examine the feasibility of measuring the different variables/indicators listed and determine which ones will adequately address the proposed questions.

2.4 Data Sources

The primary data sources for the EARDA program evaluation are:

- Surveys of the three eligible target populations—the non-applicant, the unsuccessful applicant, and the successful applicant institutions.

NIH Contractor Performance Report (continued)

- Case studies of eight institutions that have participated in the EARDA program and that have been funded as part of the two EARDA program components—SRIP and FRESP.

The secondary data sources include:

- Published lists of EARDA eligible institutions
- Implementation plans prepared by the EAs
- Annual progress reports from EARDA institutions
- Grant application and continuation award proposals
- NIH grant and other relevant databases
- EARDA program records, including appropriate correspondence
- Bibliometric databases

The connections of these data sources to the study questions and variables/indicators are shown in Figure 1. More details on the data collection strategies for each data source are presented in Sections 2.5 through 2.7.

NIH Contractor Performance Report (continued)

Table 1. Study Questions, Variables/Indicators, and Data Sources

(1) Proposed Study Questions	(2) Suggested Variables/Indicators	(3) Potential Data Sources
Process Questions		
(1) What resources do EARDA program staff members have to implement the program?	<i>Program Planning/Development</i> <ul style="list-style-type: none"> ▪ Number of FTEs at NIH implementing the program ▪ Funds allotted to program, by category (e.g., staff, travel) 	Secondary data from EARDA program
(2) What means of communication have been established between EARDA programs staff and eligible institutions with program grantees?	<i>Program Planning/Development</i> <ul style="list-style-type: none"> ▪ EARDA communications in place: <ul style="list-style-type: none"> - electronic mail - website - newsletter - meetings (scheduled, ad hoc) <i>Pre-EARDA Award Stage</i> <ul style="list-style-type: none"> ▪ Number of flyers, letters disseminated to potential institutions ▪ Number of technical assistance workshops conducted ▪ Number of institutions attending workshop 	Secondary data from EARDA program Surveys of eligible institutions
(3) How many institutions are eligible for the program, have applied for a grant, and are successful in getting a grant?	<i>Pre-EARDA Award Stage</i> <ul style="list-style-type: none"> ▪ Applicant institutions by type of award (FRESP/SRIP) <ul style="list-style-type: none"> - Number of urban and rural institutions - Number of HBCUs - Number of HSIs - Number of TCUs - Number of women's colleges 	Secondary data from EARDA program EARDA program list of eligible institutions NICHD Grants Management Branch and the Referral and Program Analysis Branch
(4) Why are some eligible institutions not applying for an EARDA grant?	<i>Pre-EARDA Award Stage</i> <ul style="list-style-type: none"> ▪ Reasons for not applying (e.g., no knowledge of program, no resources, no interests, residency requirements) ▪ Motivating factors for applying (e.g., total funding level, duration of grants) 	Secondary data from EARDA program Survey of eligible, non-applicant institutions

NIH Contractor Performance Report (continued)

Table 1. Study Questions, Variables/Indicators, and Data Sources Continued,

(1) Proposed Study Questions	(2) Suggested Variables/Indicators	(3) Potential Data Sources
(5) What activities or factors are most productive in helping EARDA institutions carry out their implementation plan?	<i>Pre-EARDA and Post-EARDA Award Stages</i> <ul style="list-style-type: none"> ▪ Pre-award support to institutions from the EARDA Program staff ▪ Quality of EA's NIH residency experience ▪ Post-EARDA award support to institutions ▪ Facilitation of collaborative arrangements (previously existing versus new networking ties) ▪ Consonance between EA/institution and program goals 	Secondary data from EARDA program Survey of successful applicant institutions Case studies
(6) What skills and knowledge are gained by the EAs during their NIH residency and which aspects of their training contribute most to these skills/knowledge?	<i>NIH Residency Stage</i> Skills/knowledge acquired: <ul style="list-style-type: none"> ▪ Understanding of the peer review process ▪ Research grant budget preparation ▪ Grant writing ▪ NIH staff functions ▪ Funding opportunities ▪ Networking opportunities ▪ Preparing periodic reports 	Secondary data from EARDA program Survey of successful applicant institutions Case studies

NIH Contractor Performance Report (continued)

Table 1. Study Questions, Variables/Indicators, and Data Sources Continued,

(1) Proposed Study Questions	(2) Suggested Variables/Indicators	(3) Potential Data Sources
Outcome/Impact Questions		
(7) What short-term, intermediate, and long-term goals have EARDA grantee institutions been able to achieve?	<i>Post-EARDA Award Stage</i> <ul style="list-style-type: none"> ▪ ORD established or improved ▪ Workshops initiated ▪ Scope of ORD activities ▪ Number of seminars conducted ▪ Number of workshops (faculty, student) conducted ▪ Number of seminars (faculty, student) conducted attended? ▪ Number of pilot projects submitted ▪ Number of pilot projects funded ▪ Number of funded research projects in which faculty and students are participating ▪ Number of publications ▪ Number of presentations ▪ Number of meetings attended ▪ Number of students funded under minority supplements ▪ Number of MARC awards ▪ Number of MBRS awards ▪ Number of other NIH, Federal, non-Federal awards ▪ Number of students participating on research projects ▪ Number of students applying for graduate programs in the biomedical and behavioral areas 	Secondary data from EARDA program Survey of successful applicant institutions
(8) Do EARDA eligible institutions integrate research development activities with everyday sponsored research administration? If yes, how successful are they?	<i>Post-EARDA Award Stage</i> <ul style="list-style-type: none"> ▪ Relationship of ORD and OSR activities ▪ Perception of ORD activities and of collaboration with new or existing OSR-type functions. 	Secondary data from EARDA program Surveys of eligible institutions Case studies

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Table 1. Study Questions, Variables/Indicators, and Data Sources Continued,

(1) Proposed Study Questions	(2) Suggested Variables/Indicators	(3) Potential Data Sources
(9) Do EARDA eligible institutions conduct faculty or student workshops to develop research infrastructure? If yes, how successful are they?	<i>Post-EARDA Award Stage</i> <ul style="list-style-type: none">▪ Description of faculty activities▪ Faculty/student perceptions of workshop outcomes▪ Content of workshops	Secondary data from EARDA program Surveys of eligible institutions Case studies
(10) What changes in faculty or student participation in research activities have occurred during the grant period?	<i>Post-EARDA Award Stage</i> <ul style="list-style-type: none">▪ Student and faculty annual participation rates	Secondary data from EARDA program Surveys of eligible institutions Case studies
(11) What kinds of research collaboration have occurred between EARDA eligible institutions and with whom? How extensive are these collaborations?	<i>Post-EARDA Award Stage</i> <ul style="list-style-type: none">▪ Description of interactions and collaborations initiated by faculty with other institutions▪ Faculty or student visits to or from other institutions▪ Faculty participation in outside peer review activities	Secondary data from EARDA program Surveys of eligible institutions Case studies
(12) During the grant period, have EARDA institutions obtained additional or complementary funds to support research development, and how did they obtain such funds?	<i>Post-EARDA Award Stage</i> <ul style="list-style-type: none">▪ Type and level of awards from other resources obtained▪ Description of activities to gain other institutional capacity building awards	Secondary data from EARDA program Survey of successful applicant institutions Case studies
(13) In what other ways has the institutional research infrastructure changed in the EARDA institutions?	<i>Pre- and Post-EARDA Award Stages</i> <ul style="list-style-type: none">▪ Number of FTEs in Office of Sponsored Research pre/post EARDA▪ Number of release time hours for participant pre/post EARDA▪ Qualifications and experience of support personnel▪ FTEs in grants administration	Secondary data from EARDA program Survey of successful applicant institutions Case studies

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Table 1. Study Questions, Variables/Indicators, and Data Sources Continued,

(1) Proposed Study Questions	(2) Suggested Variables/Indicators	(3) Potential Data Sources
Contributing Factor Questions		
(14) What kinds of support do the EARDA eligible institutions provide to their faculty and students for research activities?	<i>Pre- and Post-EARDA Award Stages</i> <ul style="list-style-type: none"> ▪ OSR Director's salary ▪ Office space availability ▪ Computers and office equipment ▪ Inter- and intra-institutional office communication (e.g., submitting annual reports, developing time lines, making faculty committee appointments) ▪ Indirect costs/other in-kind services ▪ Faculty development grants ▪ Facility upgrades (e.g., labs) ▪ Progress on the implementation plan 	Secondary data from EARDA program Surveys of eligible institutions Case studies
(15) For the EARDA eligible institutions, what major changes have occurred since 1994 when the EARDA programs began that might influence faculty commitment to research?	<i>Pre- and Post-EARDA Award Stages</i> <ul style="list-style-type: none"> ▪ Number of pilot projects submitted ▪ Number of pilot projects funded ▪ Number of full scale funded research projects in which faculty and students are participating ▪ Number of publications pre/post EARDA ▪ Number of presentations pre/post EARDA ▪ Number of meetings attended pre/post EARDA 	Secondary data from EARDA program Surveys of eligible institutions Case studies
(16) What contextual factors affect the impact of the EARDA grant on the institution?	<i>Pre- and Post-EARDA Award Stages</i> <ul style="list-style-type: none"> ▪ Presence of other EAs at the institution ▪ Institutional evaluation of the EARDA program ▪ Perceived attitude of administration ▪ EA perception of institutional change ▪ Perceived barriers to change 	Secondary data from EARDA programs Survey of successful applicant institutions Case studies
(17) What personal characteristics of the EA (including the EAs at some institutions from 1978 to 1994) have influenced the outcomes of the EARDA grant at the institution?	<i>Pre- and Post-EARDA Award Stages</i> <ul style="list-style-type: none"> ▪ Age/gender ▪ Faculty/administration position ▪ Discipline/degree ▪ Time at institution ▪ Research experience 	Secondary data from EARDA programs Survey of successful applicant institutions Case studies

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Table 1. Study Questions, Variables/Indicators, and Data Sources Continued,

(1) Proposed Study Questions	(2) Suggested Variables/Indicators	(3) Potential Data Sources
Improvement Questions		
(18) What program improvements can be made in the Pre-EARDA award stage?	<i>Pre-EARDA Award Stage</i> <ul style="list-style-type: none"> Recruitment of eligible institutions Technical assistance to applicants 	Secondary data from EARDA program Surveys of eligible institutions Case studies
(19) What program improvements can be made in the NIH residency stage?	<i>NIH Residency Stage</i> <ul style="list-style-type: none"> The EA/mentor relationship Developing the implementation plan Other residency activities 	Secondary data from EARDA program Surveys of eligible institutions Case studies
(20) What program improvements can be made in the Post-EARDA award stage?	<i>Post-EARDA Award Stage</i> <ul style="list-style-type: none"> Executing the implementation plan Technical assistance on progress reports and on application for continued funding 	Secondary data from EARDA program Surveys of eligible institutions Case studies

2.5 Data Collection Strategies

To collect the primary data needed for the EARDA program evaluation, the contractor will use two principal methods of data collection—surveys and case studies. The secondary data, listed above, will be obtained during the case study site visits and interviews with EAs, faculty/students, and administrators. EARDA program documents will be obtained from the NICHD staff.

2.5.1 Target Populations of Institutions and Survey Respondents

The estimated numbers of individuals, or respondents, to be surveyed from the three target populations of EARDA eligible institutions (i.e., non-applicant, unsuccessful applicant, and successful applicant institutions) and the principal focus of the questions for respondents are described in this section.

1. **Non-Applicant Institutions.** The first target population is the universe of EARDA eligible institutions that have never applied for a grant (n=230). The EARDA program staff will provide the contractor with lists of principal persons (most likely administrators) responsible for research development at the non-applicant institutions and faculty members who are active in research development at their institutions. The contractor will assist the EARDA programs staff in confirming the names, titles, addresses, and e-mail addresses of those on the lists. The survey questions for these representatives of the non-applicant institutions will probe the reasons why the institution has never applied, what barriers to applying they perceive, and what, if any, are their general perceptions of the EARDA program. For a sub-sample of the eligible institutions that attended the pre-award workshops but never applied, the survey will collect data on the opinions of the institution's representatives about the usefulness of the pre-award workshop.
2. **Unsuccessful Applicant Institutions.** The second survey population is those eligible FRESP and SRIP institutions that applied, but did not receive a grant. The EARDA program staff will provide the contractor with a list of representatives from the institutions (n=46), at least one administrator and a combination of science faculty and students from these institutions. Every effort will be made to include the principal investigator (PI) who originally applied for the EARDA grant. The survey questions will focus on the institution's representatives who

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attended the EARDA pre-award workshops, the representative's perceptions of the EARDA program, and their perceptions of why the application was not accepted, and what barriers might have been encountered in applying for a grant. This sample of unsuccessful applicants will be asked about each time the institution applied for an EARDA grant and the experience of the proposed EA.

- 3. Successful Applicant Institutions.** In the third survey of successful EARDA institutions (n=61), a representative from the administration (e.g., the ORD representative, the President, the Vice President, or the Provost), a science faculty member, and the EA will be surveyed. The survey questions will primarily focus on the institution's most productive program-related activities, the intermediate and long-term goals achieved, collaborations with other institutions, institutional infrastructure and support, and suggestions for improving the EARDA program.

Table 2 summarizes the number of individuals to be identified to represent their institutions (administrators, faculty/students, and EAs) by the three types of EARDA survey populations (non-applicant, unsuccessful, and successful institutions).

2.5.2 Survey Data Collection Methods

The contractor will perform three tasks related to the survey data collection strategy:

1. Work with the NICHD and the EARDA program staff to develop draft survey questions to address the EARDA program evaluation questions and variable/indicators (See Table 1)
2. Develop and format the questions into the various survey instruments needed for administrators, faculty, and students selected to represent the three types of institutions (See Table 2)
3. Prepare a plan to administer the various survey instruments to the appropriate respondents, including the OMB clearance package for the EARDA survey instruments and procedures (see Section 2.5.3)

Table 2. Individuals Representing EARDA Eligible Institutions by Type of Institution

<u>Individuals Representing Institutions</u>	<u>Non-Applicant Institutions (N= 230)</u>	<u>Unsuccessful Applicant Institutions (N= 23)</u>	<u>Successful Applicant Institutions (N=61)</u>
<u>Administrators</u>	<u>230</u>	<u>23</u>	<u>61</u>
<u>Faculty/Students</u>	<u>230</u>	<u>23</u>	<u>61</u>
<u>Extramural Associates</u>	<u>Not Applicable</u>	<u>Not Applicable</u>	<u>61</u>
<u>Total</u>	<u>460</u>	<u>46</u>	<u>183</u>

The contractor should also include in the OMB clearance package a description of the steps to be taken to ensure a response rate of at least 75 percent from the various institution representatives. As an incentive for respondents to participate in the surveys, the NICHD plans to offer the institutions a \$100 gift certificate to purchase books for their library. The gift certificates will be a cost item that the contractor should include in the business proposal.

2.5.3 Clearance Requirements

The NICHD is now developing an OMB generic clearance package for surveys of its research partners. In this special form of OMB clearance, partners are defined as those institutions that make up the constituencies of NICHD's various research programs.

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Included are institutions or researchers that have been either successful or unsuccessful in their applications for research grant support, and institutions and individuals eligible for specific grant programs but have never applied. The kinds of information to be collected from these surveys include partner satisfaction with the overall grant program—its application process, its management and operations, and its contributions to the relevant scientific fields.

The NICHD generic clearance for partner surveys is a means to speed the review and clearance not only of the EARDA surveys of its “partners,” but also of surveys to be used in future evaluations of NICHD research programs. The time required for OMB clearance of the EARDA partner survey will be reduced to two months (one for departmental review and the second for the OMB review) compared to six months for ordinary OMB clearances. The contractor for the EARDA evaluation will need to prepare the OMB clearance package for the various surveys of different representatives from the three targeted populations of EARDA eligible institutions, outlined in Section 2.5.1.

The NICHD generic clearance for partner surveys will define, or set limits to, the types of survey instruments, the time for respondents to complete the instrument (i.e., “burden on the public” factor), and the sampling procedures. The contractor should use the following restrictions (which should complement those being used in the generic clearance package) to estimate the costs of preparing and implementing the EARDA survey instruments:

- 1) The EARDA survey instrument may be formatted and administered as either mailed questionnaire, web-based or electronic survey, or telephone interviews
- 2) The sampling plan can be universal to include all eligible EARDA institutions (see Section 2.5.1)
- 3) The different survey instruments for administrators, faculty, and students at each of the three types of EARDA eligible institutions should be pilot-tested (i.e., nine pilot tests), and the length of time should be assessed for completing each instrument
- 4) The time estimate of the burden of the different respondents (administrators, faculty, and students) to complete their pertinent survey instrument must be restricted to one half hour or less.

The above restrictions are subject to change based on the results of the NICHD’s application for generic clearance, expected for September 2003. Offerors will be notified by the contract officer of any changes pertaining to the above restrictions.

2.5.4 EARDA Institution Case Studies

Case studies of selected EARDA successful applicant institutions, as a data collection strategy, will complement the surveys of EARDA eligible institutions by providing more in depth qualitative data on factors that can be attributed to the differences in success within the FRESP/SRIP program components. The case studies will: obtain and review documents; conduct site visits; and interview EAs, faculty/students, and administrators in the context and environment in which they operate.

The eight EARDA institutions to be selected for case study will be equally represented by the SRIP and FRESP program components (i.e., four from each component). A second selection criterion is the relative success of the

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institution in achieving the EARDA program goals. The EARDA Program Director will identify institutions that have been successful

(“high performers”) and others that have been less successful (“low performers”) in performing the intended activities of both the pre-EARDA award and post-EARDA award stages. The implementation plan, prepared by the EAs for their institution, and the annual progress reports will serve as objective reference points for the program director’s identification of the EARDA institutions. In addition, the EARDA Evaluation Workgroup (See Section 3) will review the institutions recommended by the program director, using the reference information and the two selection criteria, described above. This case study selection method will allow four types of institutions to be compared: 1) FRESP high performers, 2) FRESP low performers, 3) SRIP high performers, and 4) SRIP low performers. Selecting two institutions to represent each type will allow for comparisons within each category to confirm findings.

The contractor will develop unstructured personal interviews protocols for each site visit, which will not require OMB clearance. The questions will focus on the variables/indicators listed for the 20 study questions in Table 1. In addition, those interviewed will be asked with whom they are most likely to interact regarding the EARDA program (e.g., persons within their institution, others in outside organizations, and those at the NIH). They will be asked about the frequency, quality, and content of these interactions.

2.5.5 Case Study Data Integrity

In the case study protocol and field guide, the contractor should include alternative methods to ensure the accuracy and completeness of the qualitative data collected from the eight EARDA case study institutions. The contractor should consider the advantages of assigning two senior members of the case study team to conduct the site visits and interviews to ensure comprehensive and accurate recording of the qualitative data. Staff extracting data from secondary documents should be trained in the coding process. In addition, a 10 percent sample of data that are extracted from secondary documents could be re-extracted to ensure accuracy and comprehensiveness. An EARDA case study database should be created to store the interview and document-coded data for the eight institutions selected for case study. The database should be a separate entity from the case study report. This separation permits different members of the evaluation team to cross-check evidence in the database with the findings presented in the case study report.

2.5.6 Ethical Considerations

The contractor’s evaluation team will include senior researchers who understand the need for cultural sensitivity, appropriateness and respect in talking with the EARDA program staff, the EAs, and the faculty/students and administrators at the institutions surveyed and the ones selected for case study. In all evaluation reports, no actual names of the institutions or the interviewees will be used. The presentation of findings will make reference only to the types of institutions.

To ensure the security of responses and computerized data files, the contractor will safeguard all evaluation data against loss and unauthorized use. All hard copy forms will be stored in locked, fireproof cabinets. To protect records and files against loss, daily back-up onto tape must be done so that in the case of a disk failure, only data written to the files since the last back-up are subject to loss, and can be easily restored. The data files will be protected by passwords that are changed routinely.

The contractor agrees to review the “Guiding Principles for Evaluators” prepared by the American Evaluation Association and located at:

< www.eval.org/EvaluationDocuments/aeaprin6.html >

During the conduct of the EARDA program evaluation, the contractor agrees to bring to the attention of the project officer, if necessary, any activity that departs from adherence to these principles.

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2.6 Data Preparation

For each EARDA grantee, the contractor will prepare an EARDA institution coding form to extract secondary data from the annual progress reports, initial and continuing applications, and other EARDA program records. The contractor's evaluation team will review the reports, records, and grant award documents to code relevant data on the coding form. These data will provide the baseline (e.g., from the start of the EARDA application) and subsequent annual indicators (e.g., for each year of EARDA funding) of institutional changes related to the EARDA programs goals.

2.7 Data Analysis

For the survey data, the case study data, and the data extracted from institutional documents, the contractor will prepare a data analysis plan that employs a combination of qualitative and quantitative techniques. The plan will outline the set of tasks necessary to prepare a quantitative and qualitative profile of the three EARDA targeted populations (i.e., non-applicant, unsuccessful applicant, and successful applicant institutions). Each profile will address the relevant evaluation questions presented in Table 1.

To conduct the pre-post comparison of the EARDA eligible institutions on the outcome/impact indicators, the contractor should consider the feasibility of constructing a composite measure of institutional change. The measure could be based on the outcome/impact indicators, listed for example in study questions 7 through 13, in Table 1. Such a measure could include a composite score for each institution, standardized to adjust for differences in the years of grant support and the EARDA program components, SRIP and FRESP, and other key variables deemed appropriate by the initial data assessment. The contractor should identify the appropriate statistical routines for analyzing the longitudinal data (e.g., generalized estimating equations, random effects regression, and hierarchal modeling). The overall data analysis plan should consider multivariate models of change that may be useful for understanding the outcomes/impacts of the EARDA program. In addition, the contributing factors of the institution's characteristics and the EA's personal characteristics should be analyzed so as to estimate their influence on the EARDA program outcomes.

In analyzing the EARDA institution case study data, the contractor should consider a network-based approach to discern structural patterns and relationships among the EAs, faculty, students, and administrators. The case study analysis should try to document or describe the degree of interdependency and integration and the types of interaction among faculty, students, and administrators in the various biomedical and behavioral departments. The contractor should assess the extent to which these groups are dependent on each other to accomplish their work. For example, the EA, as either a faculty member or an administrator, must interact within and across his/her department and with students to accomplish many of EARDA program activities. Network-related properties, like position in the structure, access to resources, and influence among key actors, are variables that will either enhance or impede the EAs' success in accomplishing activities that benefit their institution and demonstrate the success of the EARDA program. The network analysis should include both a quantitative and qualitative review of the relationships and interactions, and should highlight how they may influence outcomes. The findings of this analysis should help the NICHD to identify program changes that may enhance these relationships and interactions.

3.0 EARDA Evaluation Workgroup

In August 2001, the NICHD formed the EARDA Evaluation Workgroup to offer advice on the different phases of the evaluation. The members were selected for their background in research programs for minority and women's institutions and their expertise in evaluation. At the first meeting of the EARDA Evaluation Workgroup in August 2001, members reviewed the evaluation questions, presented in this proposal, and provided suggestions for the conduct of the feasibility and evaluation design study. Later, in May 2002, the members reviewed the draft feasibility and evaluation design final report (Kozloff and Kunitz, 2002) and provided suggestions for the final report in a meeting with NICHD staff.

For the full-scale implementation of the EARDA program evaluation, the contractor will assist the EARDA program staff in supporting the workgroup, including on-going meetings, deliberations, and discussions. The charge to this group will be to advise on the evaluation design, help interpret the case study and survey findings, and make recommendations for the final report. The contractor will make arrangements for two meetings of the workgroup—the first one to review the evaluation design and work plan and the second to review the preliminary findings.

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4.0 Statement of Work

Listed below are the three principal tasks, each with a number of sub-tasks, for managing the full-scale EARDA program evaluation. Listed in parentheses for each sub-task are the sections of the statement of work that provide more details of the evaluation design requirements.

Task 1 .0 Planning: The contractor will prepare and submit a work plan and schedule to implement the full-scale EARDA program evaluation. The work plan will include the contractor's approach to pilot testing alternative survey instruments (e.g., mailed, web-based, and telephone) to determine the optimal method for the different EARDA target populations. The case study approach should also be included in the plan.

Sub-task 1.1 Prepare draft work plan and meet with the NICHD staff.
(Section 2)

Sub-task 1.2 Identify EARDA program and institution secondary data
(Sections 2.3 through 2.4, including Table 1)

Sub-task 1.3 Prepare plan for assessing alternative survey instruments and design survey procedures for representatives of the three target populations (Sections 2.5.1 through 2.5.3, 2.5.6 and 2.7)

Sub-task 1.4 Prepare OMB clearance package for EARDA surveys under the NICHD generic clearance for partner surveys (Sections 2.5.3)

Sub-task 1.5 Prepare case study field guides and interview protocols
(Sections 2.5.4 through 2.5.6)

Sub-task 1.6 Select institutions for case study with advice of the EARDA Evaluation Workgroup (Section 2.5.4) and confirm addresses of the representatives of the EARDA eligible institutions (Section 2.5.1)

Sub-task 1.7 Develop EARDA institution data coding forms
(Sections 2.5.5)

Sub-task 1.8 Prepare final data analysis plan for surveys and case studies
(Sections 2.6 and 2.7)

Task 2.0 Data Collection: Data will be collected from the EARDA program office and the appropriate NICHD or NIH offices, from the three EARDA target population surveys, and through the institution case studies. During the period from submission of the OMB clearance package and OMB approval of the instruments and procedures, the contractor should proceed with secondary data collection and lay the foundation for the case studies so that the data collection period is not unnecessarily prolonged.

Sub-task 2.1 Collect EARDA program and institution secondary data
(Sections 2.5.4)

Sub-task 2.2 Mail introductory letters and make contacts for case studies
(Section 2.5.4)

Sub-task 2.3 Schedule and perform case study site visits
(Sections 2.5.4)

Sub-task 2.4 Code case study data
(Sections 2.5.5)

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Sub-task 2.5	Send introductory letters for surveys of the three EARDA target population surveys, following receipt of OMB clearance, and conduct (Section 2.5.1 through 2.5.3)
Sub-task 2.6	Conduct follow-up calls, as necessary, to improve survey instrument response rates (Section 2.5.4)
Task 3	.0 Analysis: <u>Data will be compiled and analyzed, and the preliminary and final evaluation reports, briefing materials, and manuscripts drafted, refined, and finalized.</u>
Sub-task 3.1	Code survey, case study, and secondary data on institutions (Sections 2.6)
Sub-task 3.2	Perform validity and reliability tests on data coded (Sections 2.6 through 2.7)
Sub-task 3.3	Prepare case study findings reports of EARDA institutions (Sections 2.5.4 and 2.5.5)
Sub-task 3.4	Implement data analysis plan for surveys and case studies (Section 2.7)
Sub-task 3.5	Present preliminary findings to the EARDA Evaluation Work Group (Sections 3)
Sub-task 3.6	Prepare final report, executive summary, briefing materials, and manuscript (Sections 4)

5.0 Schedule of Contract Deliverables: Reports, Briefing Materials, and Publication Manuscript

As briefly described in Section 1.4, the intended audiences of the EARDA program evaluation reports and products are the following four stakeholder groups:

1. Key NIH Offices (e.g., Office of Extramural Programs)
2. The NIH Institutes and Centers (e.g., EA mentors)
3. The NICHD leadership and program staff.
4. The EARDA Program Advisory Board, the EARDA Evaluation Workgroup, and the EARDA eligible institutions.

In conducting the EARDA full-scale evaluation, the contractor will prepare and submit various evaluation deliverables (e.g., work plans, survey instruments, field guides), progress reports, briefing materials, and the final report with an executive summary (See Table 3 below). Each deliverable will be submitted in draft form to the project officer in the NICHD Office of the Director, who will coordinate a review by the EARDA program staff and other NIH officials as relevant. The project officer will provide written questions, comments and suggestions within at least 10 working days, or by an agreed upon date. Following receipt of feedback, the contractor, at the request of the project officer, will schedule a conference call, or a follow-up meeting, to discuss the feedback provided. The contractor will then submit two copies of the final deliverable to the project officer by an agreed upon date.

The contractor should also include biweekly progress reports in the work plan and schedule. The purpose of the biweekly reports is to communicate regularly with the project officer to keep him or her apprised of progress and to ensure timely feedback on deliverables in preparation. Communications can include conference calls, e-mails, or in-person meetings.

The EARDA program evaluation final report and executive summary will include an analysis of the pre-post comparisons of institutional change, the survey question responses, and the institution case studies. It is the responsibility of the contractor to ensure that the final

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draft is written in plain English, and is thoroughly edited and proofed. The final report and executive summary will be prepared in a word processing format compatible for conversion to a desktop publishing and web-based internet formats.

To complement the final report and executive summary, the contractor will assist the NICHD staff in preparing presentation slides for briefing stakeholders on the evaluation purpose, approach, findings, conclusions and recommendations. Finally, the contractor will work with then NICHD staff to prepare a manuscript on the EARDA program evaluation for potential publication in an appropriate journal.

Table 3 contains the list and schedule of key deliverables planned for the EARDA program. Each deliverable is referenced by the associated task presented in Section 4.

Table 3. Deliverables List and Schedule

Task Number	Description of Deliverable	Months From Date of Contract
1.1	Draft work plan for EARDA program evaluation	1
1.2	List of EARDA program and institution secondary data items	2
1.3	Plan for assessing alternative survey instruments	3
1.4	OMB clearance package	4
1.5	Case study field guides and interview protocols	2
1.6	List of EARDA institutions for case study and confirmation of EARDA eligible institution representatives	3
1.7	EARDA institution data coding forms	3
1.8	Data analysis plan for surveys and case studies	4
2.1	Progress report on secondary data collection	6
2.2	Introductory letters/contacts for case studies	4
2.3	Case study site visit schedule	4
2.4	Progress report on case study data coding	9
2.5	Introductory letters and final survey instruments	7
2.6	Progress report on survey follow-up calls	9
3.1	Progress report on data coding	11
3.2	Progress report on data integrity review	12
3.3	Individual institution case study findings reports	13
3.4	Progress report on data analysis of surveys and of case studies	15
3.5	Summary report on findings for review by the EARDA Evaluation Work Group	16
3.6	Final report, executive summary, briefing materials, and manuscript	17

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G. REPORTING REQUIREMENTS

NOTE: The Project Officer is to receive all reports and deliverables as described below. The Contracting Officer is to received a copy of the Final Report only).

1. Various Evaluation Deliverables (described in Table 3 below)

In conducting the EARDA full-scale evaluation, the contractor will prepare and submit various evaluation deliverables (e.g., work plans, survey instruments, field guides), progress reports, briefing materials, and the final report with an executive summary (See Table 3 below). Each deliverable will be submitted in draft form to the project officer in the NICHD Office of the Director, who will coordinate a review by the EARDA program staff and other NIH officials as relevant. The project officer will provide written questions, comments and suggestions within at least 10 working days, or by an agreed upon date. Following receipt of feedback, the contractor, at the request of the project officer, will schedule a conference call, or a follow-up meeting, to discuss the feedback provided. The contractor will then submit two copies of the final deliverable to the project officer by an agreed upon date.

2. Biweekly Progress Reports

The contractor should also include biweekly progress reports in the work plan and schedule. The purpose of the biweekly reports is to communicate regularly with the project

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officer to keep him or her apprised of progress and to ensure timely feedback on deliverables in preparation. Communications can include conference calls, e-mails, or in-person meetings.

3. Final Report

The EARDA program evaluation final report and executive summary will include an analysis of the pre-post comparisons of institutional change, the survey question responses, and the institution case studies. It is the responsibility of the contractor to ensure that the final draft is written in plain English, and is thoroughly edited and proofed. The final report and executive summary will be prepared in a word processing format compatible for conversion to a desktop publishing and web-based internet formats.

To complement the final report and executive summary (to be sent to both the Project Officer and the Contracting Officer), the contractor will assist the NICHD staff in preparing presentation slides for briefing stakeholders on the evaluation purpose, approach, findings, conclusions and recommendations. Finally, the contractor will work with the NICHD staff to prepare a manuscript on the EARDA program evaluation for potential publication in an appropriate journal.

Table 3 contains the list and schedule of key deliverables planned for the EARDA program. Each deliverable is referenced by the associated task presented in Section 4.

Address of the Project Officer and Contracting Officer are as follows:

PROJECT OFFICER

TO BE NAMED .

NIH/NICHD/OSPAC

Building 31,

9000 Rockville Pike

Bethesda, Maryland 20892-2425

Telephone: 301-402-3213

Fax: 301-496-0588

e-mail:

CONTRACTING OFFICER

Lynn Salo

NIH/NICHD/OAM/CMB

Executive Bldg., Room 7A07

9000 Rockville Pike, MSC 7510

Bethesda, Maryland 20892-7510

Telephone: 301-435-6962

FAX: 301-402-3676

e-mail: ls59u@nih.gov

HAND CARRY/OVERNIGHT MAIL ADDRESS for Lynn Salo:

(Title, Division/Branch, Room Number)

6100 Executive Blvd.

Rockville, Maryland 20852

The following documents are to be delivered as an electronic copy and one hard copy to the address of the Project Officer listed above.

NIH Contractor Performance Report (continued)

Table 3. Deliverables List and Schedule

Task Number	Description of Deliverable	Months From Date of Contract
1.1	Draft work plan for EARDA program evaluation	1
1.2	List of EARDA program and institution secondary data items	2
1.3	Plan for assessing alternative survey instruments	3
1.4	OMB clearance package	4
1.5	Case study field guides and interview protocols	2
1.6	List of EARDA institutions for case study and confirmation of EARDA eligible institution representatives	3
1.7	EARDA institution data coding forms	3
1.8	Data analysis plan for surveys and case studies	4
2.1	Progress report on secondary data collection	6
2.2	Introductory letters/contacts for case studies	4
2.3	Case study site visit schedule	4
2.4	Progress report on case study data coding	9
2.5	Introductory letters and final survey instruments	7
2.6	Progress report on survey follow-up calls	9
3.1	Progress report on data coding	11
3.2	Progress report on data integrity review	12
3.3	Individual institution case study findings reports	13
3.4	Progress report on data analysis of surveys and of case studies	15
3.5	Summary report on findings for review by the EARDA Evaluation Work Group	16
3.6	Final report, executive summary, briefing materials, and manuscript	17

H. EVALUATION FACTORS

Technical Evaluation Criteria

The technical proposal evaluation will be conducted in accordance with weighted technical evaluation criteria established and approved prior to receipt of proposals (see below the number of points assigned for each criteria).

A. Technical Approach to the EARDA Program Evaluation Objectives and Design (Points = 40)

Provide a description of the technical approach necessary to accomplish the EARDA program evaluation objectives, to answer the principal evaluation questions, and to implement the evaluation design and data collection strategies presented in the Statement of Work.

B. Personnel/Staff Qualifications (Points = 30)

The Offeror shall describe the overall plan for organizing, staffing, and managing the tasks required by this contract. The plan shall indicate how organizational roles and responsibilities will be divided, decisions made, work monitored, and quality and timeliness assured. The

NIH Contractor Performance Report (continued)

Offeror shall explain how the management and staffing plan will enable the Offeror to complete tasks quickly, conduct different tasks concurrently, complete tasks within narrow timeframes, and assure quality of products (e.g., deliverables that are written in plain English, and are well edited and proofed).

The Offeror shall provide a standard resume for personnel in Classes I and II, as defined in **Section C.** above, Pricing Method:

The resume must include: the individual's full name, academic background, skills and subject area expertise, work history, affiliation with the Offeror, and when appropriate, a list of publications.

If the Offeror proposes to use consultants or a subcontractor to carry out specific tasks under this contract, the management plan shall specify how the contractor, consultants, and/or subcontractor will work together, how tasks will be divided, how decisions will be made and communicated, how activities will be coordinated, and how quality assurance will be accomplished.

C. Corporate Qualifications, Experience, and Facilities (Points = 30)

The tasks to be performed in the Statement of Work of this contract will require high quality work in conducting case studies and in designing and implementing surveys. The Offeror should demonstrate the corporate technical ability and subject matter expertise to conduct case studies and implement surveys. The Offeror shall describe its corporate technical and analytic experience related to evaluating scientific programs, including experience in working with minority and women's institutions of higher education. (Points = 15)

The Offeror should describe its corporate capability to organize and manage resources and personnel effectively. What mechanisms are in place to hire technically qualified staff on a quick turnaround basis for a particular project and to ensure that staff assigned to a project are retained during the entire project. (Points = 10)

The Offeror should also provide a description and the location of the organization headquarters, research offices, and other facilities to be used on this evaluation. They should provide assurances that the facilities needed for the project are currently available, or that they will be available at the approximate time of contract award. (Points = 5)

NIH Contractor Performance Report (continued)

PART II - CONTRACTOR'S REPLY:

TO # NICS 125

TITLE: (EARDA) Program Evaluation

CONTRACT #263-01-D-0_____

Contractor:

Points of Contact:

Phone-

Fax-

Address:

TOTAL ESTIMATED COST:

Pricing Method

TOTAL ESTIMATED NUMBER OF HOURS:

PROPOSED COMPLETION DATE:

FOR THE CONTRACTOR:

Signature

Date

SOURCE SELECTION:

WE HAVE REVIEWED ALL SUBMITTED PROPOSALS HAVE DETERMINED THIS FIRM SUBMITTED THE BEST OVERALL PROPOSAL AND THE PRICE/COST IS REASONABLE.

Billing Reference # _____

Appropriations Data: _____

(ATTACH OBLIGATING DOCUMENT IF AN ROC WILL NOT BE USED.)

RECOMMENDED:

FAX #

Signature - Project Officer

Date

APPROVED: _____

FAX #

Signature - Contracting Officer

Date

NIH APPROVAL -

CONTRACTOR SHALL NOT EXCEED THE ESTIMATED LABOR HOURS OR ESTIMATED TASK ORDER AMOUNT WITHOUT THE WRITTEN APPROVAL OF THE CONTRACTING OFFICER & PICS COORDINATOR

APPROVED: _____

Signature -Anthony M. Revenis, J.D., NIH-PICS Coordinator

Date

NIH Contractor Performance Report (continued)

PROPOSAL INTENT RESPONSE SHEET

RFTOP No. #125

PLEASE REVIEW THE ATTACHED REQUEST FOR PROPOSAL. FURNISH THE INFORMATION REQUESTED BELOW AND RETURN THIS PAGE BY THE EARLIEST PRACTICABLE DATE. YOUR EXPRESSION OF INTENT IS NOT BINDING BUT WILL GREATLY ASSIST US IN PLANNING FOR PROPOSAL EVALUATION.

==

☐ DO INTEND TO SUBMIT A PROPOSAL

☐ DO NOT INTEND TO SUBMIT A PROPOSAL FOR THE FOLLOWING REASONS:

COMPANY/INSTITUTION NAME:

AUTHORIZED SIGNATURE:

TYPED NAME AND TITLE:

DATE:

=

RETURN TO:

National Institutes of Health
National Institute of Child Health and Human Development
6100 EXECUTIVE BLVD MSC 7510
BETHESDA, MD 20892-7510

Attention: Lynn Salo, Contracting Officer

OR FAX TO:

Lynn Salo
401-402-3676

PLEASE SUBMIT BY May 1, 2003

NIH Contractor Performance Report (continued)

NIH Contractor Performance Report

The attached form is required for use in evaluating contractor performance on an interim basis and upon contract completion.

This form is available in WordPerfect 6.1, WordPerfect 5.1 and Microsoft Word 6.0. Using these software packages provide unlimited space for the comment fields in the hard copy of the Report.

Once the contract number (base number without modification, i.e. N01 XX 12345) is entered, data will be pulled from IMPAC (IMPAC II) and inserted automatically. The fields that will be carried over from IMPAC are: Contractor's Name, Address, City, State, Zip Code, Contract Award Date (IMPAC item 41, Initial Start Date), Contract Expiration Date (IMPAC item 90 [item 21 if incrementally funded]), Contract Value (IMPAC item 24 [item 347 if incrementally funded]), Description of Requirement (IMPAC item 19 Project Title). For Research and Development contracts, the Contractor's name and address will be pulled from the IPF File. This file maintains the current legal name and business information for each contractor. If this information is available in the IPF file for a Station Support contractor, it will be used.

The current Program Manager/Principal Investigator in IMPAC (Item 9) will also be carried over. However, you will be able to overwrite this particular field.

The database is being designed to automatically carry these ratings forward to the SUMMARY RATINGS at the end of the form.

National Institutes of Health

CONTRACTOR PERFORMANCE REPORT

FINAL REPORT

INTERIM REPORT

(Check one)

REPORTING PERIOD: (from)

(to)

CONTRACTING OFFICE (ICD, Location):

CONTRACT NUMBER:

CONTRACTOR NAME:

ADDRESS:

CITY:

STATE:

ZIP CODE:

CONTRACT AWARD DATE:

CONTRACT EXPIRATION DATE:

CONTRACT VALUE: \$

DESCRIPTION OF REQUIREMENT (Title):

RATINGS

Summarize contractor performance and *circle* the number which corresponds to the rating for each rating category. (See attached Rating Guidelines)

QUALITY OF PRODUCT OR SERVICE

Rating: 0 1 2 3 4 5

Comments:

COST CONTROL

Rating: 0 1 2 3 4 5

Comments:

TIMELINESS OF PERFORMANCE

Rating: 0 1 2 3 4 5

Comments:

BUSINESS RELATIONS

Rating: 0 1 2 3 4 5

Comments:

SUBCONTRACTS

Are subcontracts involved? Yes No (Circle one)

Comments (Please comment on those subcontractors that have provided a significant contribution to overall contract performance.)

NIH Contractor Performance Report (continued)

KEY PERSONNEL

PROJECT MANAGER/PRINCIPAL INVESTIGATOR *(name):*

Comments:

KEY PERSON *(name):*

Comments:

KEY PERSON *(name):*

Comments:

CUSTOMER SATISFACTION

Is/was the contractor committed to customer satisfaction? Yes No *(Circle one)*

If this is the Final Report:

Would you recommend selection of this firm again? Yes No *(Circle one)*

Comments:

NIH PROJECT OFFICER *(name):*

SIGNATURE:

Phone:

FAX:

Internet Address:

Date: _____

CONTRACTING OFFICER CONCURRENCE:*(Initial)*

Date: _____

NIH Contractor Performance Report (continued)

CONTRACTOR'S REVIEW:

Were comments, rebuttal, or additional information provided? Yes No (Circle one)

(If yes: They are:

On file in: _____

(Location)

(Phone))

Attached

(Check if attached)

CONTRACTOR'S REPRESENTATIVE (name):

SIGNATURE: _____

Phone: _____

FAX: _____

Internet Address: _____

Date: _____

AGENCY REVIEW:

Were contractor comments reviewed at a level above the contracting officer? Yes No

(Circle one)

(If yes: They are: _____

On file in: _____

(Location)

(Phone))

Attached

(Check if attached)

SUMMARY RATINGS:

QUALITY: _____

COST CONTROL: _____

TIMELINESS OF PERFORMANCE: _____

BUSINESS RELATIONS: _____

CONTRACTING OFFICER (name):

SIGNATURE: _____

Phone: _____

FAX: _____

Internet Address: _____

Date: _____

NIH Contractor Performance Report (continued)

RATING GUIDELINES

Summarize contractor performance in each of the rating areas. Assign each area a rating of 0 (Unsatisfactory), 1 (Poor), 2 (Fair), 3 (Good), 4 (Excellent), or 5 (Outstanding). Use the following instructions as guidance in making these evaluations.

Criteria:	Quality of Product or Service	Cost Control	Timeliness of Performance
	<ul style="list-style-type: none"> - Compliance with contract requirements - Accuracy of reports - Effectiveness of personnel - Technical excellence 	<ul style="list-style-type: none"> - Record of forecasting and controlling target costs - Current, accurate and complete billings - Relationship of negotiated costs to actuals - Cost efficiencies 	<ul style="list-style-type: none"> - Met interim milestones - Reliability - Responsive to technical direction - Completed on time including wrap-up and contract administration - Met delivery schedule - No liquidated damages assessed
0 - Unsatisfactory	Contractor is not in compliance and is jeopardizing the achievement of contract objectives.	Contractor is unable to manage costs effectively.	Contractor delays are jeopardizing performance of contract objectives.
1 - Poor	Major problems have been encountered.	Contractor is having major difficulty in managing costs effectively.	Contractor is having major difficulty meeting milestones and delivery schedule.
2 - Fair	Some problems have been encountered.	Contractor is having some problems in managing costs effectively.	Contractor is having some problems meeting milestones and delivery schedule.
3 - Good	Minor inefficiencies/errors have been identified.	Contractor is usually effective in managing costs.	Contractor is usually effective in meeting milestones and delivery schedules.
4 - Excellent	Contractor is in compliance with contract requirements and/or delivers quality products/services.	Contractor is effective in managing costs and submits current, accurate, and complete billings.	Contractor is effective in meeting milestones and delivery schedules.

5 - Outstanding The contractor has demonstrated an outstanding performance level in any of the above four categories that justifies adding a point to the score. It is expected that this rating will be used in those rare circumstances when contractor performance clearly exceeds the performance levels described as Excellent.